

#4/43  
5/17/2

Practitioner's Docket No. IB-1576CIP

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Rockenberger, Joerq; Alivisatos, A. Paul;

Application No.: Unassigned

Group No.: Unassigned

Filed: 11/21/00

Examiner: Unassigned

For: A PROCESS FOR MAKING SURFACTANT CAPPED NANOCRYSTALS

Assistant Commissioner for Patents  
Washington, D.C. 20231



POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS)

As assignee of record of the entire interest of the above identified application,

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

NEW POWER OF ATTORNEY

the following practitioners are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

Charles R. Nold, Registration No. 46,470

David J. Aston, Registration No. 28,051

Henry P. Sartorio, Registration No. 28,535

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SEND CORRESPONDENCE TO:

DIRECT TELEPHONE CALLS TO:

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510-486-6503

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Assignee:

The Regents of the University of California  
One Cyclotron Road, MS 90-1121

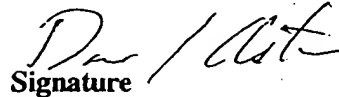
Berkeley, CA 94720 United States

Recorded herewith

**ASSIGNEE STATEMENT**

Attached to this power is a "STATEMENT UNDER 37 C.F.R. section 3.73(b)."

Date: 22 Feb 2001

A handwritten signature in black ink, appearing to read "D. Aston", written over the printed word "Signature".

**Signature**

The Regents of the University of California

**Assignee**

David J. Aston

Manager, Patent Department

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ORIGINALLY FILED

Assistant Commissioner for Patents  
Washington, D.C. 20231

STATEMENT UNDER 37 C.F.R. section 3.73(b)  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

CERTIFICATION UNDER 37 C.F.R. sections 1.8(a) and 1.10\*  
(When using Express Mail, the Express Mail label number is mandatory;  
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I hereby certify that, on the date shown below, this correspondence is being:

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37 C.F.R. section 1.10\*

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☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 23 Feb 2001

Signature

Charles R. Nold Reg 46,470  
(type or print name of person certifying)

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### IDENTIFICATION OF ASSIGNEE

2. Name of assignee: The Regents of the University of California  
Type of assignee: University

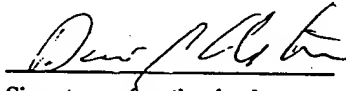
### PERSON AUTHORIZED TO SIGN

3. Name of person authorized to sign on behalf of assignee: David J. Aston  
Title of person authorized to sign: Manager, Patent Department

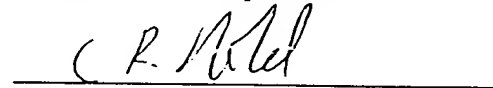
### BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

- A.
1. An assignment from the inventor(s) of the matter identified above, a copy of which is included herewith.



Signature of authorized person  
David J. Aston  
Manager, Patent Department



Charles R. Nold  
Registration No. 46,470  
Lawrence Berkeley National Laboratory  
One Cyclotron Road  
MS 90-1121  
Berkeley, CA 94720  
510-486-6503  
Customer No. 008076

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION**  
(37 CFR 1.63)

Attorney Docket Number **IB-1576CIP**  
First Named Inventor **Alivisatos, A. Paul**

**COMPLETE IF KNOWN**

Application Number  
Filing Date **November 21, 2000**  
Group Art Unit  
Examiner Name

☐ Declaration Submitted with Initial Filing OR ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

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As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (If only one name is listed below) or an original, first and joint inventor (If plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**A Process for Making Surfactant Capped Nanocrystals**

the specification of which (Title of the Invention)

☐ is attached hereto  
OR

☒ was filed on (MM/DD/YYYY) **November 21, 2000** as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 358(b) of any foreign application(s) for patent or inventor's certificate, or 358(a) of any PCT International application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?
			<input type="checkbox"/>	YES NO
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	
<b>60/162,299</b>	<b>10/28/1999</b>	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/028 attached hereto.

(Page 1 of 2)

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (If applicable)
09/702,219	October 30, 2000	

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02C attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☒ Customer Number 008076 OR ☐ Registered practitioner(s) name/registration number listed below

Place Customer Number Bar Code Label here

Name	Registration Number	Name	Registration Number

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02D attached hereto.

Direct all correspondence to: ☒ Customer Number or Bar Code Label 008076 OR ☐ Correspondence address below

Name					
Address					
Address					
City		State		ZIP	
Country		Telephone		Fax	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor: ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))

Family Name or Surname

A. Paul Alivisatos

Inventor's Signature A. Paul Alivisatos Date 2/16/01

Residence: City Berkeley State CA Country United States Citizenship US

Post Office Address 5941 Estates Drive

Post Office Address

City Oakland State CA ZIP 94611 Country United States

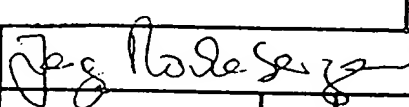
☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

Please type a plus sign (+) inside this box → ☐

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## DECLARATION

ADDITIONAL INVENTOR(S)  
 Supplemental Sheet  
 Page 1 of 1

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))		Family Name or Surname			
Joerg		Rockenberger			
Inventor's Signature				Date	02/20/01
Residence: City	Berkeley	State	CA	Country	United States
Post Office Address	2323 Hearst Avenue				
Post Office Address					
City	Berkeley	State	CA	ZIP	94709
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))		Family Name or Surname			
Inventor's Signature				Date	
Residence: City		State		Country	
Post Office Address					
Post Office Address					
City		State		ZIP	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))		Family Name or Surname			
Inventor's Signature				Date	
Residence: City		State		Country	
Post Office Address					
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City		State		ZIP	

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6-1576CIP

et No.: IB-1576CIP

FORM PTO-1595 (Modified)  
(Rev. 6-93)  
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## RECORDATION FORM COVER SHEET

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Patent and Trademark Office

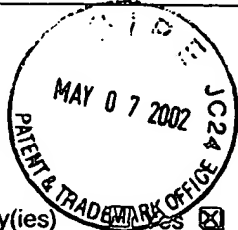
## PATENTS ONLY

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

A. Paul Alivisatos  
Joerg Rockenbeger



Additional names(s) of conveying party(ies) ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: February 16, 2001

## 2. Name and address of receiving party(ies):

Name: The Regents of the University of California

Internal Address: \_\_\_\_\_

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Street Address: Lawrence Berkeley Laboratory

One Cyclotron Road, MS 90-1121

City: Berkeley State: CA ZIP: 94720

Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

## A. Patent Application No.(s)

Unassigned  
Filing Date: November 21, 2000

## B. Patent No.(s)

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Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles R. Nold

Internal Address: \_\_\_\_\_

Street Address: One Cyclotron Road

MS 90-1121

City: Berkeley State: CA ZIP: 94720

6. Total number of applications and patents involved: 

7. Total fee (37 CFR 3.41):.....\$ 40.00

- ☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account  
☒ Authorized to be charged to deposit account

## 8. Deposit account number:

120690

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## Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Charles R. Nold, Reg. 46,470

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

15 Feb 2001



ASSIGNMENT

LBNL Case No. IB-1576CIP

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S)

1. A. Paul Alivisatos      2. Joerg Rockenberger



08076

PATENT TRADEMARK OFFICE

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>th</sup> Floor, Oakland, CA 94607-5200 and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**TITLE: A PROCESS OF MAKING SURFACTANT CAPPED NANOCRYSTALS**

and which is found in U.S. application serial no. Unassigned, Filed November 21, 2000

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment:

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.

Executed this:

Signature of Inventor(s)

16<sup>th</sup> day of February, 2001

20<sup>th</sup> day of February, 2001

A. Paul Alivisatos  
A. Paul Alivisatos  
Joerg Rockenberger  
Joerg Rockenberger